

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: John J. Sauk

Serial No.: 09 936,565

Group Art Unit: 1646

Filed: September 14, 2001

Examiner: Unknown

For: SURFACE LOCALIZED COLLIGIN HsP47 IN CARCINOMA CELLS

INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR §§ 1.56, 1.97 and 1.98

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

This information disclosure statement is made in accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98 as follows:

Timing and Fees

- ☒ Under 37 C.F.R. § 1.97(b), no fee or statement is required for filing this information disclosure statement is filed:
- ☐ within three months of the filing date of a national application other than a CPA under § 1.53(d);
 - ☐ within three months of the actual filing date of the national phase of a PCT application; OR
 - ☒ before the mailing of a first substantive office action (including after filing of an RCE).
- ☐ Under 37 C.F.R. § 1.97(c), this information disclosure statement is filed after the periods specified in 37 C.F.R. § 1.97(b), but before the mailing date of:
- ☐ a final rejection under 37 C.F.R. 1.113;
 - ☐ termination of prosecution, e.g. Ex Parte Quayle, M.P.E.P. § 609(B)(2); OR

37 C.F.R. § 1.97(c) requires that the information disclosure statement be filed on or before the mailing date of:

UNIMD 4

is accompanied by:

- ☐ the statement as specified in 37 C.F.R. § 1.97(e) set out below; OR
- ☐ a check covering the fee of \$180.00 under 37 C.F.R. § 1.17(p).
- ☐ Under 37 C.F.R. § 1.97(d), this information disclosure statement is filed after the mailing date of the following actions which have not been withdrawn:
 - ☐ a final action under 37 C.F.R. § 1.113;
 - ☐ termination of prosecution, e.g. Ex Parte Quayle, M.P.E.P § 609(B)(2); OR
 - ☐ a notice of allowance under 37 C.F.R. § 1.311;

AND is filed on or before payment of the issue fee; AND is accompanied by:

- ☐ the statement as specified in 37 C.F.R. § 1.97(e) as set forth below, and the fee of \$180.00 under 37 C.F.R. § 1.17(p).

Statements Under 37 C.F.R. 1.97(e)

- ☐ Each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application having a mailing date not more than three months prior to the filing date of this information disclosure statement; or
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and to the knowledge of the undersigned attorney after making reasonable inquiry, no item of information contained in this information disclosure statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing date of the information disclosure statement

Cited Materials

- ☐ Copies of materials listed but not attached were cited in benefit (35 U.S.C. § 120) ancestor application Serial No. _____, on Form 892 by the Examiner and or Form 1449 by the applicant; see 37 C.F.R. § 1.98(d).
- ☐ Copies of materials listed but not attached were cited in an international search

- ☒ Copies of the materials listed are attached (except for the foregoing).

Non-English Language References

- ☒ An English-language search report or equivalent paper from a foreign patent office is provided indicating the relevance of the cited reference(s).
- ☐ A foreign-language search report from a foreign patent office is provided, and pertinent parts are translated substantively below:

X = document of particular relevance when it is taken alone
Y = document of particular relevance when it is combined with another such document
A = document defining the general state of the art
O = non-written disclosure
P = intercalated document
T = document cited to understand the theory or principle underlying the invention
E = patent document which has the benefit of a date earlier than the filing date and which was published only on or after this filing date
D = cited in the application
L = cited for another reason
& = publication of member of same patent family

- ☐ Translation of other relevant information on foreign search report

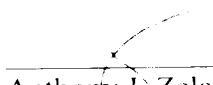
Other Information

Payment of Fees Due (If Any):

- ☐ A check for \$_____ covering the fee identified above is attached.
- ☐ Please charge to Deposit Account No. 13-3402 \$_____ for the fee identified above.

☐ The Commissioner is hereby authorized to charge or credit any overpayment to Deposit Account #13-3402, two copies of this paper are attached for this purpose.

Respectfully submitted,



Anthony J. Zelano, Reg. No. 27,969
Attorney for Applicants

MILLEN, WHITE, ZELANO
& BRANIGAN, P.C.
Arlington Courthouse Plaza I
2200 Clarendon Blvd. Suite 1400
Arlington, Virginia 22201
Telephone: (703) 243-6333
Facsimile: (703) 243-6410

Attorney Docket No.: UNIMD 4

Date: June 26, 2003

AJZ:hlw

K: Unimd 4 Information Disclosure Statement.doc

UNIMD 4

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet	1	of	2
-------	---	----	---

Complete if Known

Application Number	09/936,565
Filing Date	February 4, 2002
First Named Inventor	John J. Sauk
Group Art Unit	n/a
Examiner Name	Unknown
Attorney Docket Number	UNIMD 4

U.S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

[illegible]

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

EXAMINER Initial if reference considered, whether or not citation is in conformance with MPEP 609 Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant

Unique citation designation number. See attached copies of U.S. Patent Documents. Enter Office that issued the document, i.e., the two letter code A, B, C, S, etc.; ST = 13 for Japanese Patent Documents; the year of the year of filing; and the frequency must precede the serial number of the



Please type a plus sign (+) inside this box → +

PTO SB 08A (08-00)

Approved for use through 10/31/2002 OMB 0651-0031
U.S. Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

Paperwork Reduction Act of 1995: no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449A PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

2

of

2

Complete if Known

Application Number	09/936,565
Filing Date	February 4, 2002
First Named Inventor	John J. Sauk
Group Art Unit	n/a
Examiner Name	Unknown
Attorney Docket Number	UNIMD 4

NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T *
		PATENT ABSTRACTS OF JAPAN, Abstract of JP 07072156, 17 March 1995.	
		HU GENG et al., "Endoplasmic reticulum protein Hsp47 binds specifically to the N-terminal globular domain of the amino-propeptide of the procollagen I alpha-1(I)-chain," Journal of Cellular Biochemistry, 1995, pp. 350-367, vol. 59, no. 3.	
		HEBERT CARLA et al., "Cell surface colligin/Hsp47 associates with tetraspanin protein CD9 in epidermoid carcinoma cell lines," Journal of Cellular Biochemistry, 1 May 1999, pp. 248-258, vol. 73, no. 2.	
		MORINO MASAYOSHI et al., "HSP47 as a possible marker for malignancy of tumors in vivo," In Vivo, 1994, pp. 285-288, vol.8, no. 3.	
		MORINO MASAYOSHI et al., "Marked induction of HSP47, a collagen-binding stress protein, during solid tumor formation of ascitic Sarcoma 180 in vivo," In Vivo, 1995, pp. 503-507, vol. 9, no. 5.	
		MORINO MASAYOSHI et al., "Specific expression of HSP47 in human tumor cell lines in vitro," In Vivo, 1997, pp. 17-22, vol. 11, no. 1.	
		JOHN J. SAUK et al., "Binding motifs of CBP2 a potential cell surface target for carcinoma cells," Journal of Cellular Biochemistry, May 2000, pp. 251-263, vol. 78, no. 2.	
		HEBERT CARLA et al., "Non-natural CBP2 binding peptides and peptomers modulate carcinoma cell adhesion and invasion," Journal of Cellular Biochemistry, 2001, pp. 145-154, vol. 82, no. 1.	

Examiner
Signature

Date
Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Unique citation designation number: * Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22313-1450.